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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/727,409	12/04/2003	Richard C. Johnson	ORCL5881	7705

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EXAMINER

AGWUMEZIE, CHARLES C

ART UNIT PAPER NUMBER

3621

DATE MAILED: 11/08/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.	Applicant(s)	
	10/727,409	JOHNSON, RICHARD C.	
	Examiner	Art Unit	
	Charlie C. Agwumezie	3621	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 04 December 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-28 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-28 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date <u>12/17/03; 8/15/05</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

1. **Claims 9-14, and 15-19**, are rejected under 35 U.S.C. 102(e) as being anticipated by Brown et al U.S. Patent Application Publication No. 2004/0139327 A1.
2. As per **claim 9**, Brown et al discloses a computer-implemented method for ensuring non-repudiation of a payment request, the payment request being generated in a computing environment having a connection to a network, the method comprising the steps of:
 - receiving, over the network, the payment request together with a certificate identifying a user having caused the payment request to be generated, the certificate including certificate-identifying information and user-identifying information, the certificate further including authority information defining an authority of the user to make the payment request (fig. 1, 2, 3, and 8; 0165; 0174; 0183; claim 80);

validating the certificate-identifying information and the user-identifying information included within the received certificate (fig. 1, 2, 3, and 8; 0165; 0174; 0183; claim 80);

validating the authority information included within the received certificate, and executing of the payment request only when the certificate-identifying information, the user-identifying information and the authority information within the received certificate is successfully validated (fig. 1, 2, 3, and 8; 0165; 0174; 0183; claim 80).

3. As per claim 10, Brown et al further discloses the method, wherein the payment request is for a predetermined amount and wherein the payment request is authorized only when the validating steps are successful and when the authority information for the user stored in the hierarchical authority data structure lists an authorized amount for the user at least equal to the predetermined amount (0177; 0183; 0184; 0185).

4. As per claim 11 and 16, Brown et al further discloses the method, wherein the certificate received in the receiving step conforms to the X.509 standard (0109; 0164; 0183).

5. As per claim 12 and 17, Brown et al further discloses the method, wherein the authority information is configured as XML code (0062; 0068; 0069).

6. As per claim 13 and 18, Brown et al further discloses the method, wherein the

XML code is compliant with a DSML standard (0062; 0068; 0069).

7. As per **claim 14**, Brown et al further discloses the method, wherein the authority information is validated by accessing a store of authority information that is independent of the received certificate (0165).

8. As per **claim 15**, Brown et al discloses a software application configured to carry out a financial transaction, the application being configured to run on a computer coupled to a network, and comprising, stored on a computer-readable medium:

certificate receiving code which is configured to receive a digital certificate from a user over the network, the certificate including certificate-identifying information and user-identifying information, the certificate further including authority information that defines an authority granted to the user to request that the financial transaction be carried out (fig. 1, 2, 3, and 8; 0165; 0174; 0183; claim 80);

certificate validating code configured to enable validation of the certificate-identifying information and user-identifying information within the received certificate, and authorization validating code configured to enable validation of the authority information within the received certificate against corresponding authority information for the user stored in a data structure that is independent of the received certificate (fig. 1, 2, 3, and 8; 0165; 0174; 0183; claim 80).

9. As per **claim 19**, Brown et al further discloses the software application, wherein

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the authority defined by the authority information within the received certificate also defines rights of the user to access predetermined data and programs within the network (0183; 0184).

10. **Claim 20, 24-28**, are rejected under 35 U.S.C. 102(e) as being anticipated by Ginter et al U.S. Patent Application Publication No. 2005/0060584

11. As per **claim 20**, Ginter et al discloses a computer-implemented method for controlling authority of employees of a company within in a computing environment, the company having a hierarchical management structure, the method comprising the steps of:

creating or receiving a primary digital certificate, the primary digital certificate including primary authority information that defines and grants primary rights to a primary employee as defined by the hierarchical management structure (see fig. 50; 0320; 0907; 0572; 0917; 1136);

creating secondary digital certificates and assigning the created secondary certificates to selected secondary employees requiring access to the computing environment, each of the selected secondary employees occupying a predefined position within the hierarchical management structure that is hierarchically lower than that of the primary employee, each of the secondary certificates including secondary authority information that defines and grants secondary rights, the secondary rights being derivative from the primary rights and being commensurate with the predefined

position of the selected secondary employee within the hierarchical management structure (0917; 0907; 0908; 1136), and

allowing each selected secondary employee to exercise only those rights within the computing environment that are granted by the secondary rights defined within the assigned secondary certificate (0293; 0406; 0910; 0888; 1203; see claim 67).

12. As per **claim 24**, Ginter et al further discloses the computer-implemented method, wherein the secondary rights defined within at least one of the secondary certificates are derivative from secondary rights defined within another secondary certificate (0907; 0908; see claim 67 and 68).

13. As per **claim 25**, Ginter et al further discloses the computer-implemented method, further including a step of revoking a secondary certificate to a terminated secondary employee, the revoking step being operative to revoke all certificates to secondary employees of the company that report to the terminated secondary employee, which revokes all secondary rights that are derivative from the secondary rights granted by the revoked secondary certificate (see claim 59).

14. As per **claim 26**, Ginter et al further discloses the computer-implemented method, further including a step of revoking a secondary certificate to a terminated secondary employee, the revoking step being operative to revoke all secondary rights that are derivative from the secondary rights granted by the revoked secondary

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certificate (see claim 59).

15. As per **claim 27**, Ginter et al further discloses the computer-implemented method, wherein the primary and secondary rights define access rights to data and programs within the computing environment (0293; 0606).

16. As per **claim 28**, Ginter et al further discloses the computer-implemented method, wherein the primary and secondary rights each define amounts to which the primary and each of the secondary employees, respectively, are authorized to bind the company (see claim 52 and 60).

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

17. **Claims 1-8**, are rejected under 35 U.S.C. 103(a) as being unpatentable over Brown et al U.S. Patent Application Publication No. 2004/0139327 A1 in view of Ramanathan U.S. Patent Application Publication No. 2002/0144110 A1 and further in view of Aucsmith et al U.S. Patent 5, 712,914.

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18. As per claim 1, Brown et al discloses in a computing environment having a connection to a network, computer readable code readable by a computer system in said environment, for enabling a server computer within the computing environment to both authenticate a user of a client computer within the computing environment and to verify that the user is authorized to request that the server computer carry out a requested action, comprising:

a digital certificate assigned to the user of the client computer, the digital certificate comprising a first code portion and a second code portion, wherein the first code portion of the digital certificate is configured enable authentication of the user, the first code portion defines a public key, a certificate serial number, a certificate validity period, a digital signature of the certificate authority, and an extension field;

wherein the second code portion of the digital certificate is configured to define an authority of the user of the client computer to request that the server computer carry out the requested action, the second code portion being configured for inclusion within the extension field of the first code portion, the authority of the user defined within the second code portion of the certificate being verifiable by the server computer independently of the digital certificate (0165; 0174; 0183).

What brown does not explicitly teach is a digital certificate assigned to the user of the client computer, the digital certificate comprising a first code portion and a second code portion, wherein the first code portion of the digital certificate is configured enable authentication of the user, the first code portion defines a public key, a certificate serial

number, a certificate validity period, a digital signature of the certificate authority, and an extension field.

Ramanathan discloses a digital certificate assigned to the user of the client computer, the digital certificate comprising a first code portion and a second code portion, wherein the first code portion of the digital certificate is configured enable authentication of the user, the first code portion defines a public key, a certificate serial number, a certificate validity period, a digital signature of the certificate authority, but not the extension field (fig. 3; 0024; 0028).

Aucsmith et al discloses a digital certificate with an extension field (fig. 1, 3, 4, and 5)

Accordingly it would have been obvious to one of ordinary skill in the art at time of applicant's invention to modify the system of Brown et al and incorporate a digital certificate assigned to the user of the client computer, the digital certificate comprising a first code portion and a second code portion, wherein the first code portion of the digital certificate is configured enable authentication of the user, the first code portion defines a public key, a certificate serial number, a certificate validity period, a digital signature of the certificate authority, and an extension field as taught by Ramanathan and Aucsmith et al, respectively in order to show details of X.509 capabilities and/or implementation.

19. As per **claim 2**, Brown et al further discloses a computer readable code, wherein the digital certificate conforms to the X.509 standard (0109; 0164; 0183).

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20. As per **claim 3**, Brown et al further discloses the computer readable code, wherein the second code portion is configured as XML code (0062; 0068; 0069).
21. As per **claim 3**, Brown et al further discloses the computer readable code, wherein the XML code is compliant with a DSML standard (0109; 0164; 0183).
22. As per **claim 5**, Brown et al further discloses the computer readable code, wherein the authority of the user of the client computer is stored in a hierarchical authority data structure that is accessible by the server computer (0183).
23. As per **claim 6**, Brown et al further discloses the computer readable code, wherein the authority of the user defined within the second code portion of the certificate is verifiable by the server computer accessing a store of authority information that is independent of the received certificate (0183).
24. As per **claim 7**, Brown et al further discloses the computer readable code, wherein the authority defined within the second code portion defines access rights of the user to data and programs within the computing environment (0183).
25. As per **claim 8**, Brown et al further discloses the computer readable code, wherein the authority defined within the second code portion defines rights of the user to

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issue payment requests (0183; see claim 80).

26. **Claims 21-23**, are rejected under 35 U.S.C. 103(a) as being unpatentable over Ginter et al, U.S. Patent Application Publication No. 2005/0060584 in view of Brown et al U.S. Patent Application Publication No. 2004/0139327 A1

27. As per **claim 21**, Ginter et al failed to explicitly disclose the computer-implemented method, wherein the primary and secondary certificates conform to the X.509 standard.

Brown et al discloses the computer-implemented method, wherein the primary and secondary certificates conform to the X.509 standard (0109; 0164; 0183).

Accordingly it would have been obvious to one of ordinary skill in the art at time of applicant's invention to modify the system of Ginter et al and incorporate a method, wherein the primary and secondary certificates conform to the X.509 standard as taught by Brown et al in order to show details of implementation and certificate format used.

28. As per **claim 22**, Ginter et al failed to disclose the computer-implemented method, wherein the primary and secondary authority information are encoded within the primary and secondary certificates as XML code

Brown et al discloses the computer-implemented method, wherein the primary and secondary authority information are encoded within the primary and secondary certificates as XML code (0062; 0068; 0069).

Accordingly it would have been obvious to one of ordinary skill in the art at time of applicant's invention to modify the system of Ginter et al and incorporate a method, wherein the primary and secondary authority information are encoded within the primary and secondary certificates as XML code as taught by Brown et al in order to show details of implementation and data format used.

29. As per claim 23, Ginter et al failed to explicitly disclose the computer-implemented method, wherein the XML code is compliant with a DSML standard.

Brown et al discloses the computer-implemented method, wherein the XML code is compliant with a DSML standard (0109; 0164; 0183; 0085).

Accordingly it would have been obvious to one of ordinary skill in the art at time of applicant's invention to modify the system of Ginter et al and incorporate a method, wherein the XML code is compliant with a DSML standard as taught by Brown et al in order to show format used.

Conclusion

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Charles C. Agwumezie whose number is **(571) 272-6838**. The examiner can normally be reached on Monday – Friday 8:00 am – 5:00 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached on **(571) 272 – 6712**.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll free).

Any response to this action should be mailed to:

Commissioner of Patents and Trademarks

Washington D.C. 20231

Or faxed to:

(571) 273-8300. [Official communications; including After Final communications labeled "Box AF"].

(571) 273-8300. [Informal/Draft communications, labeled "PROPOSED" or "DRAFT"].

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Hand delivered responses should be brought to the Examiner in the Knox Building, 50
Dulany Street Alexandria VA.

acc

October 24, 2005


Primary Examiner
AU 3621